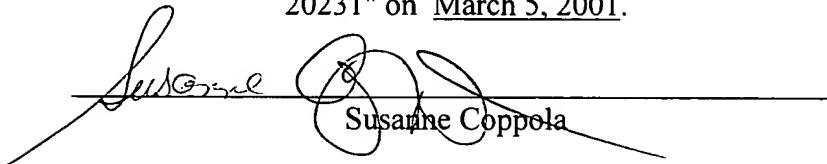




PATENT APPLICATION

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: "Commissioner for Patents, Washington, D.C. 20231" on March 5, 2001.


Susanne Coppola

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S) : Lalit Narayan and Dechu P. Muthana
SERIAL NO. : 09/766,714
FILED : January 22, 2001
FOR : Securities Trading System and Related Method Using Security Pools
GROUP ART UNIT : unknown
EXAMINER : unknown

Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

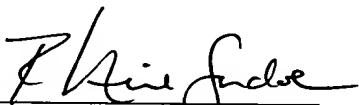
SIR:

Pursuant to the Duty to Disclose under 37 C.F.R. §1.56(a), applicant encloses herewith a copy of an Information Disclosure Citation listing patent documents relevant to the background of the invention described and claimed in the above-identified application. Also enclosed are copies of the listed documents.

Applicant respectfully requests that the Examiner consider the enclosed references in determining the patentability of the claimed invention. Applicant also requests that the Examiner return a copy of the enclosed Information Disclosure Citation with initials or other marks indicating that the references have been so considered.

Respectfully submitted,
COLEMAN SUDOL SAPONE, P.C.

By:



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Dated: February 28, 2001

**INFORMATION DISCLOSURE
CITATION IN AN APPLICATION**

Atty Ref: B41-004

Serial No: 09/766,714

Applicants: Lalit Narayan and Dechu P. Muthana

Filing Date: January 22, 2001

Art Unit: unknown

United States Patent Documents

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date
	4,412,287	October 25, 1983	Braddock, III			September 15, 1982
	6,058,379	May 2, 2000	Odom et al.			July 11, 1997
	5,563,783	October 8, 1996	Stolfo, et al.			April 4, 1995

Foreign Patent Documents

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
- NONE -							

Other Documents

Examiner Initial	Citation
	- NONE -

Examiner:

Date Considered:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.